

# CITY OF SAN ANTONIO



<b>Administrative Directive</b>	<b>AD 7.5A Establishing IT-Related Directives</b>
<b>Procedural Guidelines</b>	Guidelines to implement and enforce Citywide IT-related directives and standards.
<b>Department/Division</b>	Information Technology Services Department (ITSD)
<b>Effective Date</b>	December 23, 2008
<b>Project Manager</b>	Alan Smith, IT Policies and Standards Manager

## Purpose

This directive sets forth the process for creating or updating information technology (IT)-related directives, communicating that directive to affected parties, and adopting the directive or updates.

## Policy

All ITSD standards will be established by IT-related administrative directives or internal policies. Standards may include specifications for acceptable hardware, acceptable versions of software, and acceptable performance of technology, service level agreements, and other categories.

## Policy Applies To

<input type="checkbox"/> External & Internal Applicants	<input checked="" type="checkbox"/> Current Temporary Employees
<input checked="" type="checkbox"/> Current Full-Time Employees	<input type="checkbox"/> Current Volunteers
<input checked="" type="checkbox"/> Current Part-Time Employees	<input checked="" type="checkbox"/> Current Grant-Funded Employees
<input checked="" type="checkbox"/> Current Paid and Unpaid Interns	<input checked="" type="checkbox"/> Police and Fire Academy Trainees
<input checked="" type="checkbox"/> Uniformed Employees Under Collective Bargaining Agreements	

## Definitions

### Administrative Directive

A published document designed to establish uniform procedures for the handling of day-to-day administrative activities. The document is normally signed by the City Manager or designee. The full description of administrative directives is found in Administrative Directive (AD) 1.1.

<b><u>ITSD</u></b>	The City of San Antonio's (COSA) Information Technology Services Department (ITSD) or successor agencies.
<b><u>Policy and Standards Manager</u></b>	The person or designee responsible for coordinating all of the activities pertaining to directive creation, maintenance, and adoption.
<b><u>Directive Owner</u></b>	The person within ITSD responsible for the detailed content of the directive; also known as "Project Manager" in the directive.
<b><u>Standard</u></b>	An accepted criterion or norm; usually those adopted by recognized governing bodies responsible for information technology standards.
<b>Policy Guidelines</b>	
<b><u>General Guidelines</u></b>	<p>A. Organizational responsibility for the development, implementation, maintenance, and compliance monitoring of all ITSD directives is placed with the ITSD Policy Division.</p> <p>B. All standards set by ITSD will be detailed in an ITSD directive.</p> <p>C. The content of the directive will be managed by the Directive Owner, who is a person within ITSD with the technical expertise to develop the directive's content.</p> <p><u>Procedure for Creating a New Directive or Modifying an Existing Directive</u></p> <p>D. The Policy Division in ITSD will announce to the City departments the intention to create a new directive or modify an existing directive.</p> <ol style="list-style-type: none"> <li>1. Drafts of the new or modified directive will be sent to the appropriate stakeholders via e-mail and/or a designated electronic collaboration environment available to all stakeholders.</li> <li>2. The Directive Owner may elect to solicit input from City departments prior to the creation of the first draft of the new or modified directive.</li> </ol> <p>E. The ITSD Policy and Standards Manager will determine the most appropriate list of stakeholders for the directive and communicate the announcement and directive drafts to those stakeholders based on the content of the directive and who will be affected by the directive.</p> <ol style="list-style-type: none"> <li>1. At a minimum, the communication for any directive affecting City departments outside of ITSD, herein called an [Administrative] directive, will be given to those stakeholders on the City Executive Outlook distribution list.</li> <li>2. At a minimum, the communication for any directive affecting only ITSD, herein called an internal policy, will be given to</li> </ol>

those stakeholders on the ITSD Executive Outlook distribution list.

3. Stakeholders may also petition to have other individuals added to the distribution list for a particular directive. An e-mail requesting the addition should be sent to the ITSD Policy and Standards Manager.
- F. The draft directive will be sent with a standard timetable for the activities leading to its adoption. The timetable may be adjusted by the ITSD Policy and Standards Manager based on the complexity of the directive, need for implementation, or other factors. Unless otherwise adjusted, the following standard timeline shall be applied:
1. *Working day 1*: First draft of directive is communicated to the stakeholders who are asked to review the draft and provide feedback.
  2. *Working day 11*: Feedback regarding the directive draft is due to the ITSD Policy and Standards Manager who then compiles the feedback, reviews it with the Directive Owner, and determines if and how to incorporate the feedback into the second draft.
  3. *Working day 16*: The second draft of the directive is communicated to the stakeholders who are asked to review the draft and provide feedback.
  4. *Working day 21*: Feedback regarding the directive draft is due to the ITSD Policy and Standards Manager who then compiles the feedback, reviews it with the Directive Owner, and determines if and how to incorporate the feedback into the final version.
  5. *Working day 24*: The final version of directive is sent for approval to the appropriate approval authority. The final version, including a timetable for implementation of the directive and financial impact analysis, is then communicated to the stakeholders after approval by the appropriate authority.
- G. All approved directives will be posted on the City AD website or an ITSD internal website.

Procedure for Requesting a Change to an Existing Directive

- H. Any stakeholder may request the creation of a new directive or a change to an existing directive. The requestor will complete the ITSD Policy Change Request Form (Attachment 1) and submit the form to the ITSD Policy and Standards Manager.
- I. The ITSD Policy and Standards Manager will acknowledge the request via e-mail within three working days of receipt.
- J. The ITSD Policy and Standards Manager will review the request in

coordination with the appropriate Directive Owner and make a recommendation regarding its viability to the CTO/ITSD Director within five working days of receipt. The ITSD Policy and Standards Manager will notify the requester of the status of the request.

- K. The CTO/ITSD Director will approve or disapprove the initiation of a directive change process based on the request for change, or return the request to the requester with comment. The ITSD Policy and Standards Manager will notify the requester of the status of the request.
- L. If the request is approved, the ITSD Policy and Standards Manager will establish the timetable for adoption of the change and notify the requester of the timetable.

Procedure for Requesting a Waiver to an ITSD Directive

- M. All requests for a waiver to an ITSD directive will be governed by a Certification and Accreditation process. Certification consists of a comprehensive assessment of the technical and non-technical features of the waiver and establishes the extent to which it meets security and other requirements. Accreditation is a formal declaration that the information system requested under the waiver is approved to operate in the City.
- N. The director of the department requesting the waiver will complete the ITSD Policy Waiver Request Form (Attachment 2) and submit the form to the ITSD Policy and Standards Manager.
- O. The ITSD Policy and Standards Manager will acknowledge the request via e-mail within three working days of receipt.
- P. The ITSD Policy and Standards Manager and Directive Owner will review the waiver request and make a recommendation regarding its viability to the CTO/ITSD Director within five days of receipt. The ITSD Policy and Standards Manager will notify the department director of the status of the request.
- Q. The CTO/ITSD Director will evaluate the waiver request against the following criteria
  - 1. *Security*: The requested waiver does not create increased security exposure.
  - 2. *Risk*: The requested waiver does not significantly increase the agency's risk of loss or failure.
  - 3. *Interoperability*: The requested waiver does not degrade potential connectivity or interoperability.
  - 4. *Economy*: The financial benefits of the requested waiver exceed its costs, and it protects investments in technology and technical skills.

5. *Public Safety*: The requested waiver does not increase risk to citizens.
- R. The CTO/ITSD Director will approve, disapprove, or return the waiver request to the department director with comment. If approved, the CTO/ITSD Director will issue an Interim Authority to Operate (IATO) for a period of six months. The ITSD Policy and Standards Manager, Directive Owner, and any other necessary staff work with the requesting department to determine whether the department is making progress towards compliance with the standard. The CTO/ITSD Director may renew the IATO for another interim period of six months for a maximum of 18 months.
- S. Once the department complies with the standard, the CTO/ITSD Director will issue an Authority to Operate (ATO). If the information system is not in compliance, ITSD may shut the system down, or increase the service charges for that system. The charges would revert to normal once the system is in compliance and the CTO/ITSD Director issues an ATO.
- T. The ITSD directives will be numbered for ease of reference.
1. The numbering system for IT-related directives shall be consistent with the Administrative Directives for IT. In general each specific ITSD directive will be the "7" series.
  2. Each number will adhere to the following general categories
    - a. 7.1 = Application Development Series
    - b. 7.2 = Customer Support Series
    - c. 7.3 = Data and Database Series
    - d. 7.4 = Hardware and Infrastructure Series
    - e. 7.5 = ITSD Administration Series
    - f. 7.6 = Off-the-Shelf Software Series
    - g. 7.7 = General Directives Series
    - h. 7.8 = Security Series
    - i. 7.9 = Telecommunications Series
    - j. 7.10 = TBD
  3. Each individual directive in its category will deploy a letter to distinguish it from the next directive. For example, "7.8A," "7.8B," "7.8C," etc.
  4. Additional categories including the appropriate letter designation will be added to the formatting schema without requiring a formal directive change.

## Roles & Responsibilities

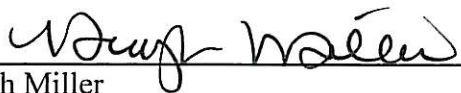
<b><u>ITSD</u></b>	<ul style="list-style-type: none"> <li>A. Maintain a web site that provides links to all adopted ITSD directives, a listing of all waivers from directive compliance given to departments, and all proposed ITSD directives and directive changes.</li> </ul>
<b><u>Departments</u></b>	<ul style="list-style-type: none"> <li>A. Review each draft of the directive and providing appropriate feedback and input within the time frame specified.</li> <li>B. Communicate IT directives to all appropriate personnel in their department.</li> <li>C. Ensure compliance with this Administrative Directive (Department Director).</li> <li>D. Take corrective actions to become compliant if not in compliance.</li> <li>E. Recommend changes, if necessary, to any IT directive affecting the department using the ITSD Policy Change Request Form (Attachment 1).</li> <li>F. Apply for a waiver using the ITSD Policy Waiver Request Form (Attachment 2) if the department cannot comply with the directive.</li> <li>G. Enforce additional directives/standards that are department-specific to supplement ITSD directives as long as those department directives do not contradict or conflict with the ITSD directive or standard.</li> </ul>
<b><u>Directive Owner</u></b>	<ul style="list-style-type: none"> <li>A. Prepare a fiscal impact analysis that will be distributed with the final version of the directive for all directives that potentially have a financial impact.</li> <li>B. Ensure that any directive that requires specific tools or procedures to monitor compliance will fully describe the necessary tools and procedures.</li> <li>C. Review each directive annually, at a minimum, in order to keep them current.</li> </ul>
<b><u>Policy and Standards Manager</u></b>	<ul style="list-style-type: none"> <li>A. Manage the directive review process:               <ul style="list-style-type: none"> <li>1. Communicate all directive drafts to the appropriate City departmental personnel</li> <li>2. Accumulate all feedback from everyone reviewing the directive drafts</li> <li>3. Evaluate all feedback</li> <li>4. Review and incorporate all appropriate modifications into drafts and/or the final version of the Directive.</li> </ul> </li> <li>B. Maintain the distribution lists for all ITSD directives.</li> </ul>

	<ol style="list-style-type: none"> <li>2. The internal policy distribution list will include but is not limited to the: <ol style="list-style-type: none"> <li>a. Chief Technology Officer (CTO)/Director of ITSD and any designees</li> <li>b. All Assistant Directors of ITSD</li> <li>c. All Division Managers in ITSD</li> </ol> </li> <li>3. The external directive distribution list will include but is not limited to the: <ol style="list-style-type: none"> <li>a. Director of each Department in the City and any designees</li> <li>b. Assistant Directors of each Department unless exempted by the Department Director</li> <li>c. Point of Contact(s) identified by the Department Director</li> <li>d. City Management Team</li> <li>e. Mayor's office (Administration and Policy support staff)</li> <li>f. Assistant to City Council</li> </ol> </li> <li>4. Add or remove names to or from each distribution list at the request of the Department Director or designee, at the request of any stakeholder, or based on the subject matter of the directive draft. These additions may be permanent or temporary.</li> </ol>
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## Attachments

<b><u>Attachment 1</u></b>	<a href="#"><u>ITSD Policy Change Request Form</u></a>
<b><u>Attachment 2</u></b>	<a href="#"><u>ITSD Policy Waiver Request Form</u></a>

Information and/or clarification may be obtained by contacting the Information Technology Services Department (ITSD) at 207-8301.




Hugh Miller

Information Technology Services Department Director / CTO

09/14/09

Date

Approved by:



Richard J. Varn

Chief Information Officer (CIO)

09/16/09

Date

Approved by:



Sheryl Sculley

City Manager

9-29-09

Date

## Attachment 1 – ITSD Policy Change Request Form

Requester Name: \_\_\_\_\_ Request Date: \_\_\_\_\_  
Department: \_\_\_\_\_ E-mail: \_\_\_\_\_  
Telephone #: \_\_\_\_\_

Request Type (check one):

- ☐ I wish to suggest a new IT-related directive  
☐ I wish to suggest a change to an existing IT-related directive

Policy Number: \_\_\_\_\_

Policy Name: \_\_\_\_\_

Desired Directive or Change:

Rationale or Justification:

Signature (Requester) \_\_\_\_\_

\_\_\_\_\_ Date

Signature (Department Director or Designee) \_\_\_\_\_

\_\_\_\_\_ Date

Date Received:

Date Acknowledged:

☐ Approved

☐ Denied

☐ Request for information (see attached)

Comments:

## Attachment 2 – ITSD Policy Waiver Request Form

Requester Name: \_\_\_\_\_ Request Date: \_\_\_\_\_  
Department: \_\_\_\_\_ E-mail: \_\_\_\_\_  
Telephone #: \_\_\_\_\_

Policy Number: \_\_\_\_\_

Policy Name: \_\_\_\_\_

Reason for Waiver Request:

\_\_\_\_\_  
Signature (Department Director or Designee)

\_\_\_\_\_  
Date

Date Received: \_\_\_\_\_

Date Acknowledged: \_\_\_\_\_

Risks and Issues Related to the Waiver Request (To Be Completed by ITSD):

☐ Approved

☐ Denied

☐ Request for information (see attached)

Comments:

Waiver Expiration Date: \_\_\_\_\_